

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2011

State: Missouri



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Substance Abuse and Mental Health Services Administration
Center for Substance Abuse Prevention
www.samhsa.gov

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INTRODUCTION

The Annual Synar Report (ASR) format provides the means for States to comply with the reporting provisions of the Public Health Service Act (42 U.S.C. 300x-26) and the Tobacco Regulation for the SAPT Block Grant (45 C.F.R. 96.130 (e)).

Public reporting burden for the collection of information is estimated to average 15 hours for Section I and 3 hours for Section II, including the time for reviewing instructions, completing and reviewing the collection of information, searching existing data sources, and gathering and maintaining the data needed. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to SAMHSA Reports Clearance Officer; Paperwork Reduction Project; 1 Choke Cherry Road, 7th Floor Rockville, Maryland 20857.

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 05-31-2013.

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, States are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2010 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2011 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate State compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist States¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including State Synar Program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

How the Synar report can help States

The information gathered for the Synar report can help States describe and analyze substate needs for program enhancements. These data can also be used to report to the State legislature and other State and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from State Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of State progress in implementing Synar, including State difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

¹The term “State” is used to refer to all the States and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2413 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or email using the directory provided in the FY 2011 Uniform Application, Appendix A. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (240) 276-1422.

Where and when to submit the Synar report

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2010. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

The State must upload one copy of the ASR using the online WebBGAS (Block Grant Application System). In addition, the following items must be uploaded to WebBGAS:

- FFY 2011 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1–5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel) to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections.

Each State SSA Director has been emailed a login ID and password to log onto the Synar section of the WebBGAS site.

Additionally, the State must submit one signed original of the report (including the signed Funding Agreements/Certifications), as well as one additional copy of the signed Funding Agreements/Certifications, to the Grants Management Officer at the address below:

Ms. Barbara Orlando
Grants Management Officer
Office of Program Services
Division of Grants Management
Substance Abuse and Mental Health Services Administration

Regular Mail:

1 Choke Cherry Road, Rm.7-1091
Rockville, Maryland 20857

Overnight Mail:

1 Choke Cherry Road, Rm.7-1091
Rockville, Maryland 20850

FFY 2011: FUNDING AGREEMENTS/CERTIFICATIONS

The following form must be signed by the Chief Executive Officer or an authorized designee and submitted with this application. Documentation authorizing a designee must be attached to the application.

PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT

42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below.

SYNAR SURVEY SAMPLING METHODOLOGY

The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2011 is up-to-date and approved by the Center for Substance Abuse Prevention.

SYNAR SURVEY INSPECTION PROTOCOL

The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2011 is up-to-date and approved by the Center for Substance Abuse Prevention.

State: Missouri

Name of Chief Executive Officer or Designee:

Signature of CEO or Designee:

Title: _____ **Date Signed:** _____

If signed by a designee, a copy of the designation must be attached.

SECTION I: FFY 2010 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

42 U.S.C. 300x-26 requires the States to report information regarding the sale/distribution of tobacco products to individuals under age 18.

1. Please indicate any changes or additions to the State tobacco statute(s) relating to youth access since the last reporting year. If any changes were made to the State law(s) since the last reporting year, please attach a photocopy of the law to the hard copy of the ASR and also upload a copy of the State law to WebBGAS. (see 42 U.S.C. 300x-26).

- a. Has there been a change in the *minimum sale age* for tobacco products?

☐ Yes ☒ No

If Yes, current minimum age: ☐ 19 ☐ 20 ☐ 21

- b. Have there been any changes in State law that impact the State's *protocol for conducting Synar inspections*? ☐ Yes ☒ No

If Yes, indicate change. (Check all that apply.)

- ☐ Changed to require that law enforcement conduct inspections of tobacco outlets
☐ Changed to make it illegal for youth to possess, purchase or receive tobacco
☐ Changed to require ID to purchase tobacco
☐ Other change(s) (Please describe.) _____

- c. Have there been any changes in the law concerning *vending machines*?

☐ Yes ☒ No

If Yes, indicate change. (Check all that apply.)

- ☐ Total ban enacted
☐ Banned from location(s) accessible to youth
☐ Locking device or supervision required
☐ Other change(s) (Please describe.) _____

- d. Have there been any changes in State law that impact the following?

Licensing of tobacco vendors ☐ Yes ☒ No
Penalties for sales to minors ☐ Yes ☒ No

2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) and the State Plan (see 42 U.S.C. 300x-51) were made public within the State prior to submission of the ASR. (Check all that apply.)

- ☐ Placed on file for public review
☒ Posted on a State agency Web site (Please provide exact Web address.)
http://www.dmh.missouri.gov/ada/SYNARReports_000.htm

- ☐ Notice published in a newspaper or newsletter
- ☐ Public hearing
- ☐ Announced in a news release, a press conference, or discussed in a media interview
- ☐ Distributed for review as part of the SAPT Block Grant application process
- ☐ Distributed through the public library system
- ☐ Published in an annual register
- ☐ Other change(s) *(Please describe.)* _____

3. Identify the following agency or agencies *(see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).*

a. The State agency(ies) designated by the Governor for oversight of the Synar requirements:

Department of Mental Health – Division of Alcohol and Drug Abuse

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

b. The State agency(ies) responsible for conducting random, unannounced Synar inspections:

Department of Mental Health – Division of Alcohol and Drug Abuse

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

c. The State agency(ies) responsible for enforcing youth tobacco access law(s):

Department of Public Safety – Division of Alcohol and Tobacco Control

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

4. Identify the State agency responsible for tobacco prevention activities (the agency that receives the Centers for Disease Control and Prevention's National Tobacco Control Program funding).

Department of Mental Health – Division of Alcohol and Drug Abuse (youth access);
Department of Health and Senior Services (tobacco cessation)

Has the responsible agency changed since last year's Annual Synar Report?

☐ Yes ☒ No

a. Describe the coordination and collaboration that occur between the agency responsible for tobacco prevention and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies

☒ Are the same

☐ Have a formal written memorandum of agreement

☐ Have an informal partnership

☐ Conduct joint planning activities

☐ Combine resources

☐ Have other collaborative arrangement(s) *(Please describe.)* _____

5. Please answer the following questions regarding the State's activities to enforce the youth access to tobacco law(s) in FFY 2010 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

a. Which one of the following describes the enforcement of youth access to tobacco laws carried out in your State? (Check one category only.)

- ☐ Enforcement is conducted exclusively by local law enforcement agencies.
- ☒ Enforcement is conducted exclusively by State agency(ies).
- ☐ Enforcement is conducted by both local *and* State agencies.

b. The following items concern penalties imposed for violations of youth access to tobacco laws by LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES. Please fill in the number requested. If State law does not allow for an item, please mark —N/A (not applicable). If a response for an item is unknown, please mark —UNK." The chart must be filled in completely.

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	0	91	91
Number of <u>fin es assessed</u>	0	49	49
Number of <u>permits/licenses suspended</u>	N/A		N/A
Number of <u>permits/licenses revoked</u>	N/A		N/A
Other (Please describe.) Letter of reprimand	53	0	53

c. Which one of the following best describes the level of enforcement of youth access to tobacco laws carried out in your State? (Check one category only.)

- ☐ Enforcement is conducted only at those outlets randomly selected for the Synar survey.
- ☒ Enforcement is conducted only at a subset of outlets not randomly selected for the Synar survey.
- ☐ Enforcement is conducted at a combination of outlets randomly selected for the Synar survey and outlets not randomly selected for the Synar survey.

d. Did every tobacco outlet in the State receive at least one enforcement compliance check in the last year?

- ☐ Yes
- ☒ No

e. What additional activities are conducted in your State to support enforcement and compliance with State tobacco access law(s)? (Check all that apply.)

- ☒ Merchant education and/or training
- ☐ Incentives for merchants who are in compliance (e.g., nonenforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)
- ☐ Community education regarding youth access laws

- ☐ Media use to publicize compliance inspection results
- ☐ Community mobilization to increase support for retailer compliance with youth access laws
- ☐ Other activities (*Please list.*) _____

Briefly describe all checked activities:

Education Trainings and Mailings:

The Department of Mental Health – Division of Alcohol and Drug Abuse (DMH-ADA) conducts year-round retailer education including retailer trainings, mailings, and signage checks. In December 2009, DMH-ADA printed and distributed 5,988 “age checker” calendars to tobacco retailers. A total of 76 retailer trainings were conducted across the state during the past year. A total of 743 individuals were trained.

Youth Attempt-to-Purchase Tests

For these checks, no enforcement activity was conducted.

From October, 2009 to April, 2010, DMH-ADA employed three full-time health representatives to conduct compliance checks of tobacco retailers in the state. Compliance checks were conducted in which a youth age 16 or 17 tests if the store clerk asks for identification when the youth presents a tobacco product at the counter or when the youth puts a quarter into a cigarette machine, depending upon the mode of sale. If the mode of purchase is over-the-counter, the event is considered a successful unconsummated buy if the retail clerk fails to refuse the sale prior to requesting payment for the tobacco product. If the mode of purchase is vending machine, the event is considered a successful unconsummated buy if the youth is able to insert a quarter into the vending machine and make a selection without intervention by a store employee whereby they prohibit the youth from purchasing a tobacco product. During these checks, the youth inspectors purchases no tobacco products (insertion of insufficient funds prevents actual purchase). If the check results in a successful (unconsummated) buy, the clerk receives a caution card. If the store employee refuses the sale, then the store employee is given a congratulatory card. From October, 2009 through April, 2010, there were 724 checks completed. Of these checks, 59 (8.1%) resulted in the issuance of caution cards.

Walk-In Visits by Prevention Teams

In February 2010, DMH-ADA staff conducted phone calls of tobacco merchants. The calls were followed by a walk-in visit in March by DMH-ADA contracted prevention providers. The objectives of these phone contacts and visits were to

- Provide information regarding the state's law on youth access to tobacco products,
- Distribute state law signs,

- Identify outlets that no longer sell tobacco or are out of business,
- Update outlet name, phone number and address information in the listing of known tobacco outlets maintained by DMH-ADA, and to
- Identify new businesses that sell tobacco.

In February 2010, 3,976 outlets were contacted by phone. In March, the prevention teams conducted walk-in visits and provided merchant education materials at 5,363 outlets.

- f. **Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey?** ☐ Yes ☒ No

If “Yes” to 5f, please describe the State’s procedure for minimizing risk of bias to the survey results from retailers alerting each other to the presence of the survey teams:

- g. **Please describe the relationship between the State’s Synar program and the Food and Drug Administration-funded enforcement program:**

The State agency designated by the Governor for oversight of the Synar Program, the Department of Mental Health - Division of Alcohol and Drug Abuse (DMH-ADA) has submitted a response to the FDA RFP for tobacco enforcement. In its proposal, DMH-ADA is proposing to subcontract with the Department of Public Safety - Division of Alcohol and Tobacco Control. On August 31, 2010, ADA was notified that an FDA tobacco contract has been awarded to the state effective August 30, 2010.

SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the State to meet the requirements of the Synar Regulation in FFY 2010 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

6. **Has the sampling methodology changed from the previous year?** ☐ Yes ☒ No

The State is required to have an approved up-to-date description of the Synar sampling methodology on file with CSAP. Please submit a copy of your Synar Survey Sampling Methodology (Appendix B). If the sampling methodology changed from the previous reporting year, these changes must be reflected in the methodology submitted.

7. **Please answer the following questions regarding the State’s annual random, unannounced inspections of tobacco outlets (see 45 C.F.R. 96.130(d)(2)).**

- a. **Did the State use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data?** ☒ Yes ☐ No

If Yes, attach SSES summary tables 1, 2, 3, and 4 to the hard copy of the ASR and

upload a copy of SSES tables 1–5 (in Excel) to WebBGAS. Then go to Question 8.
If No, continue to Question 7b.

- b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, the standard error, accuracy rate (number of eligible outlets divided by the total number of sampled outlets), and completion rate (number of eligible outlets inspected divided by the total number of eligible outlets).

Unweighted RVR _____

Weighted RVR _____

Standard error (s.e.) of the (weighted) RVR _____

Fill in the blanks to calculate the right limit of the right-sided 95% confidence interval.

_____ + (1.645 × _____) = _____
RVR Estimate plus (1.645 times Standard Error) equals Right Limit

Accuracy rate _____

Completion rate _____

- c. Fill out Form 1 in Appendix A (Forms1–5). (Required regardless of the sample design.)

- d. How were the (weighted) RVR estimate and its standard error obtained?
(Check the one that applies.)

☐ Form 2 (Optional) in Appendix A (Forms 1–5) (Attach completed Form 2.)

☐ Other (Please specify. Provide formulas and calculations or attach and explain the program code and output with description of all variable names.)

- e. If stratification was used, did any strata in the sample contain only one outlet or cluster this year? ☐ Yes ☐ No ☐ No stratification

If Yes, explain how this situation was dealt with in variance estimation.

- f. Was a cluster sample design used? ☐ Yes ☐ No

If Yes, fill out and attach Form 3 in Appendix A (Forms 1–5), and answer the following question.

If No, go to Question 7g.

Were any certainty primary sampling units selected this year? ☐ Yes ☐ No

If Yes, explain how the certainty clusters were dealt with in variance estimation.

g. Report the following outlet sample sizes for the Synar survey.

	Sample Size
Effective sample size (sample size needed to meet the SAMHSA precision requirement assuming simple random sampling)	
Target sample size (the product of the effective sample size and the design effect)	
Original sample size (inflated sample size of the target sample to counter the sample attrition due to ineligibility and noncompletion)	
Eligible sample size (number of outlets found to be eligible in the sample)	
Final sample size (number of eligible outlets in the sample for which an inspection was completed)	

h. Fill out Form 4 in Appendix A (Forms 1–5).

8. Did the State’s Synar survey use a list frame? ☒ **Yes** ☐ **No**

If Yes, answer the following questions about its coverage.

a. The calendar year of the latest frame coverage study: 2008

b. Percent coverage from the latest frame coverage study: 89.4%

c. Was a new study conducted in this reporting period? ☐ **Yes** ☒ **No**

If Yes, please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.

d. The calendar year of the next coverage study planned: 2011

9. Has the Synar survey inspection protocol changed from the previous year?

☐ **Yes** ☒ **No**

The State is required to have an approved up-to-date description of the Synar inspection protocol on file with CSAP. Please submit a copy of your Synar Survey Inspection Protocol (Appendix C). If the inspection protocol changed from the previous year, these changes must be reflected in the protocol submitted.

a. Provide the inspection period: From 4/23/2010 to 7/26/2010
MM/DD/YY MM/DD/YY

b. Provide the number of youth inspectors used in the current inspection year:

24

NOTE: If the State uses SSES, please ensure that the number reported in 9b matches that reported in SSES Table 4, or explain any difference.

Three minors had birthdays during the survey period.

c. Fill out and attach Form 5 in Appendix A (Forms 1–5). *(Not required if the State used SSES to analyze the Synar survey data.)*

SECTION II: FFY 2011 (Intended Use):

Public law 42 U.S.C. 300x-26 of the Public Health Service Act and 45 C.F.R. 96.130 (e) (4, 5) require that the States provide information on future plans to ensure compliance with the Synar requirements to reduce youth tobacco access.

1. In the upcoming year, does the State anticipate any changes in:

Synar sampling methodology ☒ Yes ☐ No

Synar inspection protocol ☒ Yes ☐ No

If changes are made in either the Synar sampling methodology or the Synar inspection protocol, the State is required to obtain approval from CSAP prior to implementation of the change and file an updated Synar Survey Sampling Methodology (Appendix B) or an updated Synar Survey Inspection Protocol (Appendix C), as appropriate.

2. Please describe the State's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2011. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.

The Department of Mental Health - Division of Alcohol and Drug Abuse (DMH-ADA) has submitted a response to the FDA RFP for tobacco enforcement. In its proposal, DMH-ADA is proposing to subcontract with the Department of Public Safety - Division of Alcohol and Tobacco Control (DPS-ATC) to conduct enforcement checks at 60 percent of the state's tobacco outlets. These checks would include Synar designated outlets. The Division was notified on August 31, 2010 that an FDA tobacco contract has been awarded to the state effective August 30, 2010. Over the next few months, ADA in collaboration with ATC will be working to hire and train enforcement agents. In addition, the state Synar coordinator will be reviewing FDA inspection protocol and will be submitting revised Synar sampling methodology and inspection protocol plans to CSAP for approval. The state Synar coordinator will also be re-evaluating the State's coverage study methodology and will be submitting revised methodology to CSAP for approval. Merchant education activities will be coordinated with FDA and will be developed over the course of upcoming year.

3. Describe any challenges the State faces in complying with the Synar regulation. (Check all that apply.)

- ☒ Limited resources for law enforcement of youth access laws
- ☐ Limited resources for activities to support enforcement and compliance with youth tobacco access laws
- ☒ Limitations in the State youth tobacco access laws
- ☐ Limited public support for enforcement of youth tobacco access laws
- ☐ Limitations on completeness/accuracy of list of tobacco outlets
- ☐ Limited expertise in survey methodology
- ☐ Laws/regulations limiting the use of minors in tobacco inspections
- ☐ Difficulties recruiting youth inspectors

- ☐ Geographic, demographic, and logistical considerations in conducting inspections
- ☐ Cultural factors (e.g., language barriers, young people purchasing for their elders)
- ☐ Issues regarding sources of tobacco under tribal jurisdiction
- ☐ Other challenges *(Please list.)* _____

Briefly describe all checked challenges and propose a plan for each, or indicate the State's need for technical assistance related to each relevant challenge.

The Department of Mental Health - Division of Alcohol and Drug Abuse (DMH-ADA) has submitted a response to the FDA RFP for tobacco enforcement. In its proposal, DMH-ADA is proposing to subcontract with the Department of Public Safety - Division of Alcohol and Tobacco Control to conduct tobacco enforcement checks at 60 percent of the state's tobacco outlets.

APPENDIX A: FORMS 1–5

FORM 1 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)

Complete Form 1 to report sampling frame and sample information and to calculate the unweighted retailer violation rate (RVR) using results from the current year's Synar survey inspections.

Instructions for Completing Form 1: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2011). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

1(b) Write in the name of each stratum. All strata in the State must be listed.

If no stratification was used:

1(a) Leave blank.

1(b) Write "State" in the first row (indicates that the whole State is a single stratum).

Note for unstratified samples: For Columns 2–5, wherever the instruction refers to "each stratum," report the specified information for the State as a whole.

Column 2: 2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.
2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.
2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

Column 3: 3(a) Report the estimated number of eligible OTC outlets in the OTC outlet population in each stratum.
3(b) Report the estimated number of eligible VM outlets in the VM outlet population in each stratum.
3(c) Report the combined total estimated number of eligible OTC and VM outlets in the total outlet population in each stratum.

The estimates for Column 3 can be obtained from the Synar survey sample as the weighted sum of eligible outlets by outlet type.

Column 4: 4(a) Report the number of eligible OTC outlets for which an inspection was completed, for each stratum.
4(b) Report the numbers of eligible VM outlets for which an inspection was completed, for each stratum.
4(c) Report the combined total of eligible OTC and VM outlets for which an inspection was completed, for each stratum.

Column 5: 5(a) Report the number of OTC outlets found in violation of the law as a result of completed inspections, for each stratum.
5(b) Report the number of VM outlets found in violation of the law as a result of completed inspections, for each stratum.
5(c) Report the combined total of OTC and VM outlets found in violation of the law as a result of completed inspections, for each stratum.

Totals: For each subcolumn (a–c) in Columns 2–5, provide totals for the State as a whole in the last row of the table. These numbers will be the sum of the numbers in each row for the respective column.

[illegible]

RECORD COLUMN TOTALS ON LAST LINE (LAST PAGE ONLY IF MULTIPLE PAGES ARE NEEDED).

FORM 2 (Optional)

Appropriate for stratified simple or systematic random sampling designs.

Complete Form 2 to calculate the weighted RVR. This table (in Excel form) is designed to calculate the weighted RVR for stratified simple or systematic random sampling designs, accounting for ineligible outlets and noncomplete inspections encountered during the annual Synar survey.

Instructions for Completing Form 2: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2011).

- Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.
- Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.
- Column 3: Report the original sample size (the number of outlets originally selected, *including* substitutes or replacements) for each stratum.
- Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.
- Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.
- Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(c) of Form 1 for the stratum.
- Column 7: Form 2 (in Excel form) will automatically calculate the stratum RVR for each stratum in this column. This is calculated by dividing the number of inspected eligible outlets found in violation (Column 6) by the number of inspected eligible outlets (Column 5). The State unweighted RVR will be shown in the Total row of Column 7.
- Column 8: Form 2 (in Excel form) will automatically calculate the estimated number of eligible outlets in the population for each stratum. This calculation is made by multiplying the number of outlets in the sampling frame (Column 2) times the number of eligible outlets (Column 4) divided by the original sample size (Column 3). Note that these numbers will be less than or equal to the numbers in Column 2.
- Column 9: Form 2 (in Excel form) will automatically calculate the relative stratum weight by dividing the estimated number of eligible outlets in the population for each stratum in Column 8 by the Total of the values in Column 8.
- Column 10: Form 2 (in Excel form) will automatically calculate each stratum's contribution to the State weighted RVR by multiplying the stratum RVR (Column 7) by the relative stratum weight (Column 9). The weighted RVR for the State will be shown in the Total row of Column 10.
- Column 11: Form 2 (in Excel form) automatically calculates the standard error of each stratum's RVR (Column 7). The standard error for the State weighted RVR will be shown in the Total row of Column 11.
- TOTAL: For Columns 2–6, Form 2 (in Excel form) provides totals for the State as a whole in the last row of the table. For Columns 7–11, it calculates the respective statistic for the State as a whole.

FORM 2 (Optional) Appropriate for stratified simple or systematic random sampling designs.

Calculation of Weighted Retailer Violation Rate										
										State: _____
										FFY: 2011
(1) Stratum Name	(2) N Number of Outlets in Sampling Frame	(3) n Original Sample Size	(4) n1 Number of Sample Outlets Found Eligible	(5) n2 Number of Outlets Inspected	(6) x Number of Outlets Found in Violation	(7) p=x/n2 Stratum Retailer Violation Rate	(8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population	(9) w=N'/Total Column 8 Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
Total										

- N - number of outlets in sampling frame
- n - original sample size (number of outlets in the original sample)
- n1 - number of sample outlets that were found to be eligible
- n2 - number of eligible outlets that were inspected
- x - number of inspected outlets that were found in violation
- p - stratum retailer violation rate ($p=x/n2$)
- N' - estimated number of eligible outlets in population ($N'=N*n1/n$)
- w - relative stratum weight ($w=N'/\text{Total Column 8}$)
- pw - stratum contribution to the weighted RVR
- s.e. - standard error of the stratum RVR

FORM 3 (Required when a cluster design is used for all States not using the Synar Survey Estimation System [SSES] to analyze the Synar survey data.)

Complete Form 3 to report information about primary sampling units when a cluster design was used for the Synar survey.

Instructions for Completing Form 3: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2011).

Provide information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: Sequentially number each row.

Column 2: *If stratification was used:* Write in the name of stratum. All strata in the State must be listed.

If no stratification was used: Write “State” in the first row to indicate that the whole State constitutes a single stratum.

Column 3: Report the number of primary sampling units (PSUs) (i.e., first-stage clusters) created for each stratum.

Column 4: Report the number of PSUs selected in the original sample for each stratum.

Column 5: Report the number of PSUs in the final sample for each stratum.

TOTALS: For Columns 3–5, provide totals for the State as a whole in the last row of the table.

Summary of Clusters Created and Sampled				
State: _____				
FFY: 2011				
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
Total				

FORM 4 (Required for all States not using the Synar Survey Estimation System [SSES] to analyze the Synar Survey data)

Complete Form 4 to provide detailed tallies of ineligible sample outlets by reasons for ineligibility and detailed tallies of eligible sample outlets with noncomplete inspections by reasons for noncompletion.

Instructions for Completing Form 4: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2011).

Column 1(a): Enter the number of sample outlets found ineligible for inspection by reason for ineligibility. Provide the total number of ineligible outlets in the row marked "Total."

Column 2(a): Enter the number of eligible sample outlets with noncomplete inspections by reason for noncompletion. Provide the total number of eligible outlets with noncomplete inspections in the row marked "Total."

Inspection Tallies by Reason of Ineligibility or Noncompletion State: _____ FFY: 2011 _____			
(1) INELIGIBLE		(2) ELIGIBLE	
Reason for Ineligibility	(a) Counts	Reason for Noncompletion	(a) Counts
Out of business		In operation but closed at time of visit	
Does not sell tobacco products		Unsafe to access	
Inaccessible by youth		Presence of police	
Private club or private residence		Youth inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive-thru only/youth inspector has no driver's license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Ran out of time	
Duplicate		Other noncompletion reason(s) <i>(Describe.)</i>	
Other ineligibility reason(s) <i>(Describe.)</i>			
Total		Total	

FORM 5 (Required for all States not using the Synar Survey Estimation System [SSES] to analyze the Synar survey data)

Complete Form 5 to show the distribution of outlet inspection results by age and gender of the youth inspectors.

Instructions for Completing Form 5: In the top right-hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2011).

Column 1: Enter the number of attempted buys by youth inspector age and gender.

Column 2: Enter the number of successful buys by youth inspector age and gender.

If the inspectors are age eligible but the gender of the inspector is unknown, include those inspections in the "Other" row. Calculate subtotals for males and females in rows marked "Male Subtotal" and "Female Subtotal." Sum subtotals for Male, Female, and Other and record in the bottom row marked "Total." Verify that the total of attempted buys and successful buys equals the total for Column 4(c) and Column 5(c), respectively, on Form 1. If the totals do not match, please explain any discrepancies.

Synar Survey Inspector Characteristics		
		State: _____
		FFY: 2011 _____
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years		
16 years		
17 years		
18 years		
Male Subtotal		
Female		
15 years		
16 years		
17 years		
18 years		
Female Subtotal		
Other		
Total		

APPENDIXES B & C: FORMS

Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the State's CSAP-approved sampling design and inspection protocol. These appendixes, therefore, should generally describe the design and protocol and, with the exception of Question #10 of Appendix B, are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance, written approval. To facilitate the State's completion of this section, simply cut and paste the previously approved sampling design (Appendix B) and inspection protocol (Appendix C).

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: MO
FFY: 2011

1. What type of sampling frame is used?

- ☒ List frame (*Go to Question 2.*)
☐ Area frame (*Go to Question 3.*)
☐ List-assisted area frame (*Go to Question 2.*)

2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (*After completing this question, go to Question 4.*)

Use the corresponding number to indicate Type of Source in the table below.

- | | |
|---|--|
| 1 – Statewide commercial business list | 4 – Statewide retail license/permit list |
| 2 – Local commercial business list | 5 – Statewide liquor license/permit list |
| 3 – Statewide tobacco license/permit list | 6 – Other |

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
Listing of tobacco outlets maintained by Department of Mental Health-Division of Alcohol and Drug Abuse (DMH-ADA)	6	The frame was constructed based on a listing of tobacco outlets from previous years.	The listing is continuously modified through the activities of year-round compliance checks conducted by DMH-ADA health representatives, and enforcement activity from the DPS-DATC. In addition, the listing is modified based on the phone calls and walk-in visits by the prevention teams.
Tobacco registry maintained by the Department of Revenue	6	The registry is a voluntary registration system. Shortcomings of the source include: outlet phone numbers and tobacco mode of sale are not included; no exact location of vending machines; registered outlets that do not sell tobacco products; unregistered outlets that sell tobacco products; multiple listing of outlets; invalid addresses.	The registry is updated on a quarterly basis with a special request update given in May for the purpose of Synar sampling. It is used only to supplement the master list because of the shortcomings.

Outlets that are found to enforce their age restriction policy and deny access to the minor on two consecutive visits (Synar or non-Synar checks) are removed from the list frame. In the case of new ownership, an outlet previously removed from the list frame because of consistent enforcement of the age restriction policy is added back to the list frame and is treated as if the outlet is a new business. The state is able to identify change of ownership when the outlet becomes listed under a new owner tax id number on the state's tobacco

registration system. In the case of new ownership, results from any previous checks do not apply and the outlet must prove its ability to consistently enforce its policies under the new ownership.

3. If an area frame is used, describe how area sampling units are defined and formed.

a. Is any area left out in the formation of the area frame? ☐ Yes ☐ No

If Yes, what percentage of the State's population is not covered by the area frame?
_____ %

4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey? ☒ Yes ☐ No

If No, please indicate the reason they are not included in the Synar survey.

- ☐ State law bans vending machines.
- ☐ State law bans vending machines from locations accessible to youth.
- ☐ State has SAMHSA approval to exempt vending machines from the survey.
- ☐ Other (Please describe.) _____

5. Which category below best describes the sample design? (Check only one.)

☐ **Census** (STOP HERE: Appendix B is complete.)

Unstratified statewide sample:

- ☐ Simple random sample (Go to Question 9.)
- ☐ Systematic random sample (Go to Question 6.)
- ☐ Single-stage cluster sample (Go to Question 8.)
- ☐ Multistage cluster sample (Go to Question 8.)

Stratified sample:

- ☐ Simple random sample (Go to Question 7.)
- ☒ Systematic random sample (Go to Question 6.)
- ☐ Single-stage cluster sample (Go to Question 7.)
- ☐ Multistage cluster sample (Go to Question 7.)
- ☐ **Other** (Please describe and go to Question 9.) _____

6. Describe the systematic sampling methods. (After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.)

Three separate listings for the three strata (OTC, VM, and unknown sales mode) are sorted by five administrative regions (Northwest, Central, East, Southwest, Southeast) to achieve implicit stratification, and within each administrative region by county, city, and ZIP code. The sample was selected based on a random start. The Rand() function in Excel was used to generate a starting point between 1 and n, where n = (number of outlets in list) / (number needed for sample). Successive outlets were chosen at n intervals.

7. Provide the following information about stratification.

a. Provide a full description of the strata that are created.

Seven strata are defined according to sales mode (outlet type) and administrative tobacco region for OTC: (1) VM; (2) Unknown sales mode; (3) OTC-Eastern; (4) OTC-North central; (5) OTC-Northwestern; (6) OTC-Southeastern; (7) OTC-Southwestern.

b. Is clustering used within the stratified sample?

☐ **Yes** (Go to Question 8.)

☒ **No** (Go to Question 9.)

8. Provide the following information about clustering.

a. Provide a full description of how clusters are formed. (If multistage clusters are used, give definitions of clusters at each stage.)

b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.

9. Provide the formulas for determining the effective, target, and original outlet sample sizes.

The effective sample size:

$$n_e = \frac{z^2 p(1-p)}{d^2} + 1,$$

where z = the value that cuts the tail of the normal distribution corresponding to a one-tailed 95% confidence level (1.645);

p = estimated noncompliance rate (0.2);

d = required margin of error (0.03).

The target sample size is then determined by

$$n_t = n_e * (\text{design effect}).$$

The original sample size:

$$n_o = n_t \left(\frac{p_1}{a_1 c_1} + \frac{p_2}{a_2 c_2} \right),$$

where p_1 = proportion of vending machines in the outlet population;

p_2 = proportion of non-vending machines (OTC and unknown sales mode outlets) in the population;

a_1 = accuracy rate for the vending machine stratum;

c_1 = completion rate for the vending machine stratum;

a_2 = accuracy rate for the non-vending machine strata;
 c_2 = completion rate for the non-vending machine strata.

Please note that Missouri always uses an original sample size of 645, unless the original sample size calculation results in a number higher than 645.

10. Provide the following information about sample size calculations for the current FFY Synar survey.

- a. If the State uses the sample size formulas embedded in the Synar Survey Estimation System (SSES) Sample Size Calculator, please provide the following information:**

Inputs for Effective Sample Size:

RVR:

Frame Size:

Input for Target Sample Size:

Design Effect:

Inputs for Original Sample Size:

Safety Margin:

Accuracy (Eligibility) Rate:

Completion Rate:

- b. If the State does not use the sample size formulas embedded in the SSES Sample Size Calculator, please provide all inputs required to calculate the effective, target, and original sample sizes as indicated in Question 9.**

To determine effective sample size, an RVR of 0.2 is used. The frame size for the current FFY Synar survey is 7,142. To determine target sample size, the design effect from the prior year's survey is used and is 1.0. The prior year's completion rates for OTC and vending machines were 0.92 and 0.68, respectively. The prior year's accuracy rates for OTC and vending machine were 0.94 and 0.81, respectively. The original sample size is increased 10 percent for safety margin.

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: MO

FFY: 2011

Note: Upload to WebBGAS a copy of the Synar inspection form under the heading “Synar Inspection Form” and a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections under the heading “Synar Inspection Protocol.”

1. How does the State Synar survey protocol address the following?

a. Consummated buy attempts?

- | | |
|--|--|
| <input type="checkbox"/> Required | <input checked="" type="checkbox"/> Not permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

b. Youth inspectors to carry ID?

- | | |
|--|--|
| <input type="checkbox"/> Required | <input checked="" type="checkbox"/> Not permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

c. Adult inspectors to enter the outlet?

- | | |
|---|--|
| <input type="checkbox"/> Required | <input type="checkbox"/> Not permitted |
| <input checked="" type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

d. Youth inspectors to be compensated?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

2. Identify the agency(ies) or entity(ies) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply.)

- ☐ Law enforcement agency(ies)
- ☒ State or local government agency(ies) other than law enforcement
- ☐ Private contractor(s)
- ☐ Other

List the agency name(s): Department of Mental Health—Division of Alcohol and Drug Abuse (DMH-ADA)

3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement representatives issue warnings or citations to retailers found in violation of the law at the time of the inspection)?

- ☐ Always ☐ Usually ☐ Sometimes ☐ Rarely ☒ Never

4. Describe the methods used to recruit, select, and train youth inspectors and adult supervisors.

The screening process for Evaluation Officers includes background checks through the Highway Patrol Department and Federal Bureau of Investigation (FBI). Their records are checked for driving under the influence (DUI) and driving while intoxicated (DWI) violations as well as for child abuse and neglect incidents.

The Evaluation Officer prerequisite training includes both didactic instruction and practical field experience. It is comprehensive and specific to all aspects of conducting safe and efficient retail outlet tobacco compliance tests.

The Tobacco Compliance Evaluation and Education (TCEE) Program's five Health Program Representatives and the Program Manager are required to qualify as tobacco compliance Evaluation Officers. The Health Program Representatives are the Division's exclusive full-time Evaluation Officers. Their primary duties and responsibilities are to train minors that have been recruited to participate in the program and to plan, coordinate, and conduct the tobacco compliance tests in accordance with established directives. Other Division staff may be designated collateral duty Evaluation Officers to act as backups to the Health Program Representatives.

A Youth Inspector is the person that will conduct compliance tests of tobacco retail outlets under the direct instruction and supervision of an Evaluation Officer. To be designated as a Youth Inspector a prospective youth participant must comply with all prerequisite requirements.

5. Are there specific legal or procedural requirements instituted by the State to address the issue of youth inspectors' immunity when conducting inspections?

a. Legal ☐ Yes ☒ No *(If Yes, please describe.)*

b. Procedural ☒ Yes ☐ No *(If Yes, please describe.)*

Some counties and municipalities in the state may have restrictions that prohibit or limit actions similar to those that are taken in support of tobacco prevention activity. Health Program Representatives will be responsible to identify areas within their assigned region that have restrictions that conflict with the policies and procedures of the Division's Tobacco Compliance Evaluation and Education Program. The Division will send letters to the prosecuting attorneys in those areas known to have such restrictions asking that immunity be granted to allow completion of retailer compliance testing in accordance with the Division's Tobacco Compliance Evaluation and Education Program. These letters will be kept on file at the Division's central office. Each Health Program representative should obtain and keep copies of immunity letters applicable to their region on file at their location for quick reference.

Evaluation Officers shall verify that letters of immunity are on file prior to conducting compliance tests in areas that have such restrictions. As each Health Program Representative becomes aware of areas that have restrictions that inhibit retailer compliance testing activity but no letter of immunity, he/she will then notify the Program Manager. The Program Manager will be responsible to request letters of immunity as needed. Evaluation Officers shall not conduct compliance evaluations in areas known to have restrictions prohibiting the activity without proper authorization or an appropriate letter of immunity. Other Division staff (e.g., Prevention Specialists, Program Specialists, Community Development Specialists) and local community groups (e.g., Community 2000 Teams) will assist in identifying areas needing letters of immunity.

6. Are there specific legal or procedural requirements instituted by the State to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?

a. Legal ☐ Yes ☒ No (If Yes, please describe.)

b. Procedural ☒ Yes ☐ No (If Yes, please describe.)

The inspection team will assess the retailer area for the presence of safety concerns. The Inspection Officer shall ensure all inspection team members understand that they are to report any and all safety concerns to him/her during the assessment process. Prior to commencing a compliance inspection, the Inspection Officer shall consider the input of inspection team members before making a decision whether to proceed with a compliance inspection or not. Although all inspection team members may provide input, the decision to proceed with the compliance inspection is the sole responsibility of the Inspection Officer. If in the judgment of the Inspection Officer the process of conducting a compliance inspection at a given location would pose a safety threat, then that compliance inspection shall not be attempted. If such a condition develops after a compliance inspection has commenced, the Inspection Officer shall terminate the inspection and immediately depart the area.

7. Are there any other legal or procedural requirements the State has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?

a. Legal ☐ Yes ☒ No (If Yes, please describe.)

b. Procedural ☒ Yes ☐ No (If Yes, please describe.)

As recommended by the 2000 Missouri legislature, only minors between the ages of 16 and 17 are used to conduct Synar compliance checks.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: MO

FFY: 2011

1. Calendar year of the coverage study: 2008
2.
 - a. Unweighted percent coverage found: 89.4%
 - b. Weighted percent coverage found: %
 - c. Number of outlets found through canvassing: 235
 - d. Number of outlets matched on the list frame: 210
3.
 - a. Describe how areas were defined. (e.g., census tracts, counties, etc.)

The state of Missouri is divided into 20 Service Areas that are used in coordinating the Division's prevention activities. These Service Areas correspond to a single county or a cluster of Missouri counties.

- b. Were any areas of the State excluded from sampling? ☐ Yes ☒ No

If Yes, please explain.

4. Please answer the following questions about the selection of canvassing areas.

- a. Which category below best describes the sample design? (Check only one.)

☐ Census (Go to Question 6.)

Unstratified Statewide sample:

☐ Simple random sample (Respond to Part b.)

☐ Systematic random sample (Respond to Part b.)

☐ Single-stage cluster sample (Respond to Parts b and d.)

☐ Multistage cluster sample (Respond to Parts b and d.)

Stratified sample:

☐ Simple random sample (Respond to Parts b and c.)

☐ Systematic random sample (Respond to Parts b and c.)

☐ Single-stage cluster sample (Respond to Parts b, c, and d.)

☐ Multistage cluster sample (Respond to Parts b, c, and d.)

☒ **Other** (Please describe and respond to Part b.) In each Service Area, a starting point is determined by randomly selecting a tobacco outlet from the Service Area subset of the Synar sampling frame. The number of tobacco outlets to be identified for each starting point is determined in proportion to the population of the Service Area.

b. Describe the sampling methods.

In each Service Area, a starting point is determined by randomly selecting a tobacco outlet from the Service Area subset of the Synar sampling frame. The number of tobacco outlets to be identified for each starting point is determined in proportion to the population of the Service Area.

c. Provide a full description of the strata that were created.

d. Provide a full description of how clusters were formed.

5. Were borders of the selected areas clearly identified at the time of canvassing?

☒ Yes ☐ No

6. Were all sampled areas visited by canvassing teams?

☒ Yes (*Go to Question 7.*) ☐ No (*Respond to Parts a and b.*)

a. Was the subset of areas randomly chosen?

☐ Yes ☐ No

b. Describe how the subsample of visited areas was drawn. Include the number of areas sampled and the number of areas canvassed.

7. Were field observers provided with a detailed map of the canvassing areas?

☒ Yes ☐ No

If No, describe the canvassing instructions given to the field observers.

8. Were field observers instructed to find all outlets in the assigned area?

☐ Yes ☒ No

If No, respond to Question 9.

If Yes, describe any instructions given to the field observers to ensure the entire area was canvassed, then go to Question 10.

9. If a full canvassing was not conducted:

- a. How many predetermined outlets were to be observed in each area?** The pre-determined number for the state was 235. The pre-determined number for each Service Area was in portion to the population of the Service Area.

- b. **What were the starting points for each area?** In each Service Area, a starting point is determined by randomly selecting a tobacco outlet from the Service Area subset of the Synar sampling frame.
- c. **Were these starting points randomly chosen?** ☒ Yes ☐ No
- d. **Describe the selection of the starting points.**

In each Service Area, a starting point is determined by randomly selecting a tobacco outlet from the Service Area subset of the Synar sampling frame.

- e. **Please describe the canvassing instructions given to the field observers, including predetermined routes.**

Surveyors are instructed to go to the starting point address and identify a pre-determined number of tobacco outlets located in the vicinity of the starting point outlet while remaining within the Service Area boundaries. The starting point outlet is excluded from the tally. The number of tobacco outlets to be identified is determined in proportion to the population of the Service Area.

10. Describe the process field observers used to determine if an outlet sold tobacco.

Surveyors are instructed to look for outlets that potentially sell cigarettes, cigars, pipe tobacco, and chewing tobacco. They physically enter each potential tobacco outlet. When tobacco products are found, the surveyor records the mode of sale, business name, address, and phone number on the survey form. Survey instructions include an adaptable script to be used to explain the purpose of the visit to store employees. In addition, surveyors wear their official state name badges.

11. Please provide the State's definition of —matches” or —mismatches” to the Synar sampling frame? (i.e., address, business name, business license number, etc).

Matching is based on the values in the following fields: business name, street address, city, and phone. City was a required match or near match. For urban areas, street name was a required match and street number was required to be at least a near match (i.e. same block). If street number was not a near match, then name and phone number needed to match to be considered matching records. For rural areas, differing street addresses were mapped to determine if both addresses would lead one to the same location.

12. Provide the calculation of the weighted percent coverage (if applicable).

not applicable.

SSES Table 1 (Synar Survey Estimates and Sample Sizes)**CSAP-SYNAR REPORT**

State	MO
Federal Fiscal Year (FFY)	2010
Date	8/2/2010 11:31
Data	Synar 2010 Input.xlsx
Analysis Option	Stratified SRS with FPC

Estimates

Unweighted Retailer Violation Rate	10.6%
Weighted Retailer Violation Rate	10.6%
Standard Error	1.3%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 12.7%]
Two-sided 95% Confidence Interval	[8.1%, 13.1%]
Design Effect	1.0
Accuracy Rate (unweighted)	86.4%
Accuracy Rate (weighted)	86.5%
Completion Rate (unweighted)	96.4%

Sample Size for Current Year

Effective Sample Size	483
Target (Minimum) Sample Size	483
Original Sample Size	645
Eligible Sample Size	557
Final Sample Size	537
Overall Sampling Rate	8.8%

SSES Table 2 (Synar Survey Results by Stratum and by OTC/VM)

STATE: MO

FFY: 2010

Samp. Stratum	Var. Stratum	Outlet Frame Size	Estimated Outlet Population Size	Number of PSU Clusters Created	Number of PSU Clusters in Sample	Outlet Sample Size	Number of Eligible Outlets in Sample	Number of Sample Outlets Inspected	Number of Sample Outlets in Violation	Retailer Violation Rate(%)	Standard Error(%)
All Outlets											
E-OTC	E-OTC	1,894	1,520	N/A	N/A	167	134	133	12	9.0%	
NC-OTC	NC-OTC	1,342	1,172	N/A	N/A	118	103	93	10	10.8%	
NW-OTC	NW-OTC	1,368	1,142	N/A	N/A	121	101	100	11	11.0%	
SE-OTC	SE-OTC	1,165	1,165	N/A	N/A	103	103	100	9	9.0%	
SW-OTC	SW-OTC	1,101	953	N/A	N/A	97	84	82	11	13.4%	
VM	VM	272	224	N/A	N/A	39	32	29	4	13.8%	
Total		7,142	6,176			645	557	537	57	10.6%	1.3%
Over the Counter Outlets											
E-OTC	E-OTC	1,892	1,497	N/A	N/A	132	131	131	12	9.2%	
NC-OTC	NC-OTC	1,341	1,159	N/A	N/A	92	92	92	10	10.9%	
NW-OTC	NW-OTC	1,364	1,096	N/A	N/A	96	96	96	9	9.4%	
SE-OTC	SE-OTC	1,165	1,165	N/A	N/A	100	100	100	9	9.0%	
SW-OTC	SW-OTC	1,101	953	N/A	N/A	82	82	82	11	13.4%	
VM	VM	9	62	N/A	N/A	9	8	8	1	12.5%	
Total		6,872	5,932			511	509	509	52	10.2%	1.3%
Vending Machines											
E-OTC	E-OTC	2	23	N/A	N/A	2	2	2	0	0.0%	
NC-OTC	NC-OTC	1	13	N/A	N/A	1	1	1	0	0.0%	
NW-OTC	NW-OTC	4	46	N/A	N/A	4	4	4	2	50.0%	
SE-OTC	SE-OTC	0	0	N/A	N/A	0	0	0	0	0.0%	
SW-OTC	SW-OTC	0	0	N/A	N/A	0	0	0	0	0.0%	
VM	VM	263	162	N/A	N/A	24	23	21	3	14.3%	
Total		270	244			31	30	28	5	18.9%	7.3%

Note: There are some records with unknown outlet type. Therefore the overall counts may not equal the sum of OTC and VM counts.

SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: MO
FFY:
2010

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	537	
Total (Eligible Completes)			537
N1	In operation but closed at time of visit	15	
N2	Unsafe to access	1	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	0	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	3	
N8	Run out of time	0	
N9	Other noncompletion (see below)	1	
Total (Eligible Noncompletes)			20
I1	Out of Business	27	
I2	Does not sell tobacco products	47	
I3	Inaccessible by youth	4	
I4	Private club or private residence	4	
I5	Temporary closure	1	
I6	Can't be located	5	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	0	
I9	Duplicate	0	
I10	Other ineligibility	0	
Total (Ineligibles)			88
Grand Total			645

Give reasons and counts for other noncompletion:

Reason	Count
Insufficient funds to purchase from vending machine	1

SSES Table 4 (Synar Survey Inspection Results by Youth Inspector Characteristics)

STATE:
MO
FFY:
2010

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	0	0	0
	16	8	161	14
	17	8	96	7
	18	0	0	0
	Subtotal	16	257	21
Female	14	0	0	0
	15	0	0	0
	16	5	142	15
	17	6	138	21
	18	0	0	0
	Subtotal	11	280	36
Other		0	0	0
Grand Total		27	537	57

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	0.0%	0.0%	0.0%
16	8.7%	10.6%	9.6%
17	7.3%	15.2%	12.0%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	8.2%	12.9%	10.6%